



Ligue des Bibliothèques Européennes de Recherche
Association of European Research Libraries

Training seminar on OA policy development in Estonia
on 27th October at 11.00 in the UT Library Conference Hall



The EC's FP7/H2020 Open Access Policies. The FP7 Post-Grant Open Access Pilot

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PASTEUR4OA Report



Assessing Readiness for Open Access Policy Implementation across Europe (v2)

Assessing Readiness for Open Access Policy Implementation across Europe

euroCRIS

Summary

This report presents a European-wide case study for assessing EU Member's readiness for Open Access (OA) policy implementation – and specifically for the European Commission H2020 policy. Aspects like the availability of OA infrastructure, the awareness of OA and the availability of harmonised working procedures and coordination mechanisms are analysed, providing the means to assess the situation of specific countries.

PASTEUR4OA Report: Estonia

OpenAIRE Member State OA Statistics for Content Delivery (as of May 25, 2017)
 [source: "Overview of Open Access in the EU Member States",
<https://www.openaire.eu/eu-member-states/noads/member-states-overview>]

COUNTRY	OpenAIRE-COMPLIANT REPOSITORIES	OA PUBLICATIONS
Austria	4	39,966
Belgium	13	118,701
Bulgaria	13	7,821
Croatia	3	123,292
Cyprus	2	1,451
Czech Republic	4	102,954
Denmark	9	81,085
Estonia	1	38,988
Finland	4	120,193
France	17	463,162
Germany	82	598,022
Greece	1	8,019
Hungary	5	3,947
Iceland	2	18,266
Ireland	11	70,803
Italy	31	257,055
Latvia	2	-
Lithuania	1	25,207
Luxembourg	2	5,463
Malta	0	0
Netherlands	23	665,027
Norway	4	28,438
Poland	11	28,491
Portugal	36	184,892
Romania	0	0
Serbia	4	3,835
Slovakia	1	839
Slovenia	4	42,350
Spain	46	622,504
Sweden	18	141,942
Switzerland	13	146,200
Turkey	13	4,419
United Kingdom	75	3,615,426*

*includes about 2.5 mi publications from EuropePMC



3.2.5. Estonia

Estonia has 5 Open Access repositories listed in OpenDOAR, just one of which is OpenAIRE-compliant, and no OA policy records in the PASTEUR4OA database. However, this small Baltic Republic punches well above its weight in the OpenAIRE content delivery figures displayed above, being the largest content provider in the Baltics and outscoring much larger countries both in Eastern and Western Europe.

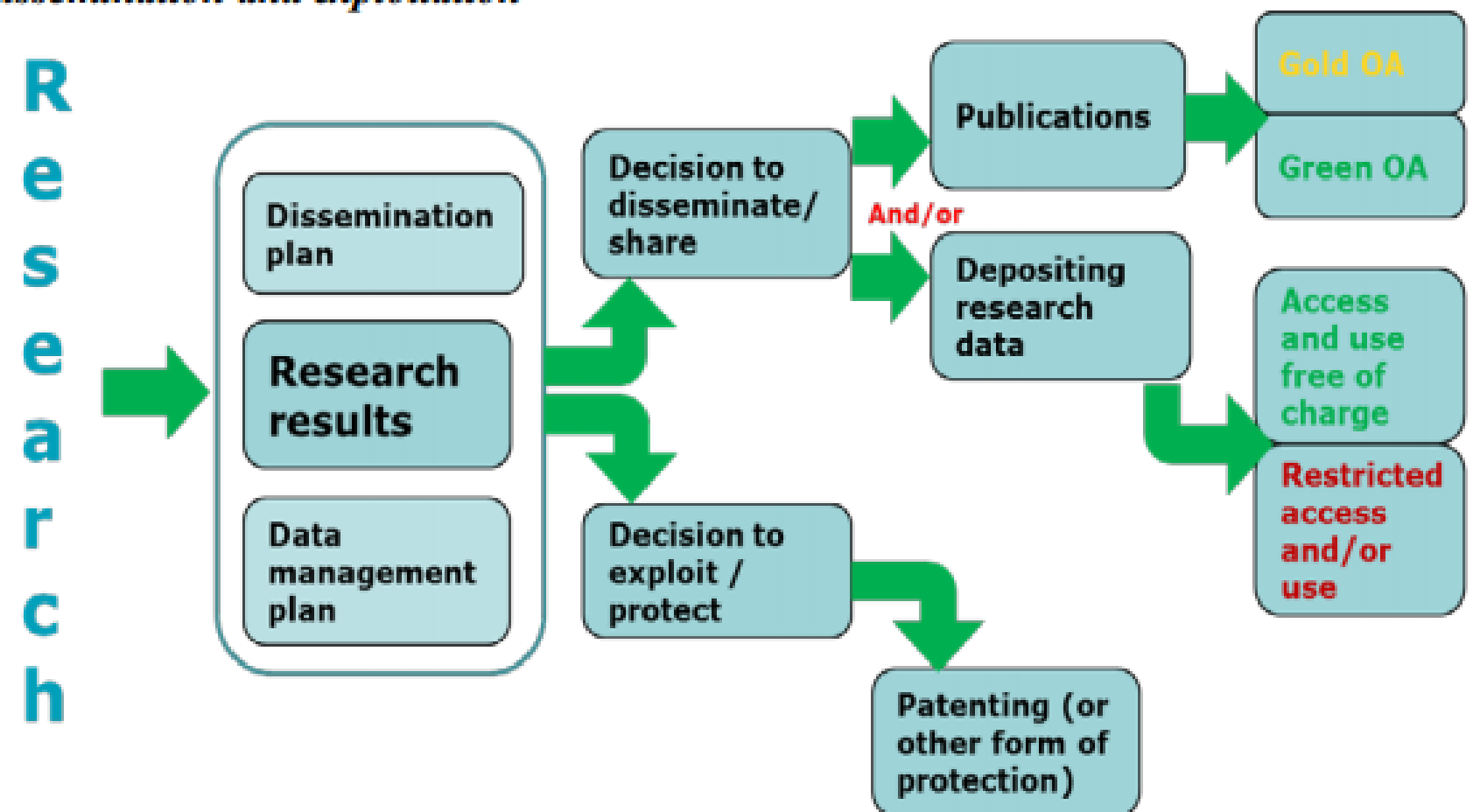
A key element for explaining this success in Open Access content delivery is the fact that the Estonian national CRIS ETIS [23], which contains nearly 160,000 bibliographic records for research results, is the most Open Access-friendly platform of all national CRISs in Central and Eastern Europe. ETIS allows researchers to choose at data delivery time whether or not to make the full-content Open Access available. Given that delivering bibliographic metadata into ETIS is compulsory for Estonian researchers, there are again good opportunities here for establishing the connection between CRIS and institutional repositories and using ETIS as supporting platform for OA policy implementation, providing some re-usable best practice along the way.

European Commission's OA Policies



Guidelines on Open Access
to Scientific Publications and Research Data
in Horizon 2020

Graph: Open access to scientific publication and research data in the wider context of dissemination and exploitation



What is this FP7 Post-Grant Pilot?

- The EC FP7 Post-Grant Open Access Pilot will provide funding to *cover the OA publishing fees for publications arising from completed FP7 projects*
- 4 million euros are made available by the EC to fund the OA “post-grant” publications of *over 8,000 completed FP7 projects*
- The Pilot will last for a *maximum of two years* (i.e. until Apr 30th, 2017) or until its budget is exhausted



Requirements for Eligibility

- The FP7 project *should have finished* by the time the funding is requested, but *no longer than two years ago*;
- *A maximum of three publications* will be funded per eligible FP7 project as a means to ensure a fair distribution of the funding across projects;
- Publications eligible for funding *must be peer-reviewed*;
- Funding requests must be submitted *once the publication has been accepted*;
- Publications submitted to *hybrid journals will not be funded*, but only those accepted at fully Open Access journals;
- *Funding caps* of €2,000 for research articles and €6,000 for monographs apply for this Pilot;
- The final version of the funded output *must be deposited* in an OpenAIRE-compliant Open Access repository.

Full Pilot policy guidelines available at: <https://www.openaire.eu/postgrant/fp7-post-grant/pilot>

Applying for Funding: the System

A central system for collecting and processing funding requests has been made available at the OpenAIRE Portal, <https://postgrantoapilot.openaire.eu/>



The screenshot shows the OpenAIRE FP7 post-grant Open Access Pilot portal. The header includes the OpenAIRE logo and a navigation menu with links for HOME, MANAGE REQUESTS, MONITOR, SUPPORT, and CONTACT US. The main content area is divided into two columns. The left column is titled "Requesting funds for post-grant FP7 publications?" and provides instructions on how to use the service, along with a list of roles: Researchers, Project Coordinators, Institutions, and Publishers. The right column is titled "Is your project eligible?" and features a search bar for entering an FP7 acronym, project name, or grant number. Below the search bar, there is a note advising users to contact support if their project is not found in the database.

After 4 months of operation, the system is increasingly able to deal *nearly on its own* with the whole request and invoicing process, plus the complex notification scheme to all stakeholders





Applying for Funding: the System (II)

FP7 post-grant Open Access Pilot

OpenAIRE HOME MANAGE REQUESTS MONITOR

1 Researcher 2 Project 3 Publication 4 Accounting 5 Summary

Review your funding request so far and edit if needed before submitting

 <p>RESEARCHER Name Email Affiliation(s) University of Amsterdam - IBED (Edit Info)</p>	 <p>PROJECT Acronym FORCE Title Future of Reefs in a Changing Environment (FORCE): An ecosystem approach to managing Caribbean coral reefs in the face of climate change Scientific area ENV Call FP7-ENV-2009-1 Contract (GA) number 244161 (Edit Info)</p>
 <p>PUBLICATION Crude oil contamination interrupts settlement of coral larvae after direct exposure ends 10.3354/meps11437 AC Hartmann</p>	 <p>ACCOUNTING APCs (from OpenAIRE database): 0 Euro - 0% discount APCs (provided by user): 1300 Euro - 0% discount Project participation: 100 %</p>

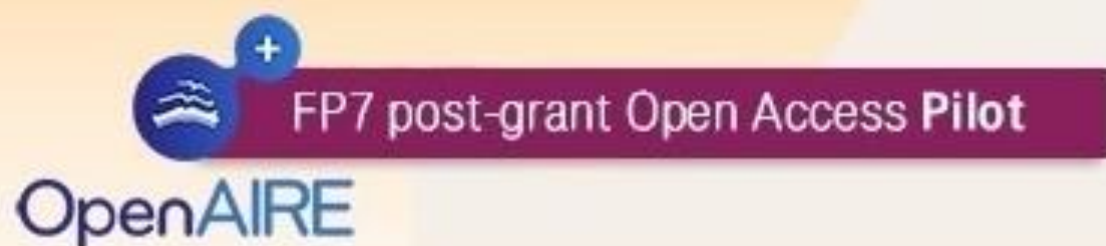
System requests information on:

- Researcher (at registration time)
- FP7 project
- Publication (article/journal/APC)
- Accounting (invoicing)

An important recommendation:

Please submit your request upon completion of the publication data *without waiting for an invoice to arrive*

Users registered so far (mid-Oct)



Registered users with the Central System for funding request collection and processing at <https://postgrantoapilot.openaire.eu/> (as of Oct 18th, 2015, i.e. 4.5 months after launch)

Registered users by user profile

Researcher – 235
Library Staff – 85
Project Coordinator – 73

TOTAL – 390

Registered users by nationality

UK – 64
Spain – 61
Germany – 48
Italy – 29
Greece – 23
The Netherlands – 17
Finland – 16
Sweden – 15
Switzerland – 13
France – 11
Portugal – 11
Austria – 9
Belgium – 9
Denmark – 8

How to Apply for Funding

1. **Funding requests** may be directly submitted by researchers or delivered by Libraries and/or Research Offices on their behalf
2. **Users** *need to register with the Central System* in order to submit a funding request
3. **Data** *about the project and the accepted publication* will be requested in order to check their eligibility. Once this is checked, the funding request will be approved and left pending until an invoice is available
4. **Invoice** for the OA publishing fee needs to be uploaded into the Central System when made available by the publisher. The invoice *must be issued to Athena Research Centre (ARC)*.

Invoice

Invoice #:	2015-0037119-5
Date Issued:	22 Jun 2015
Date Due:	22 Jul 2015
Our Reference:	10.3389/fmicb.2015.00689_Sevenich

Bill to:
Athena Research Center
Artemidos 6 & Epidavrou
GR-151 25 Athens
VAT Number EL999723442
Greece



Early Outcomes: Granted Requests

52 granted funding requests as of Sep 30th (up from 20 as of Jul 31st)

Country	Approved funding requests	Journal articles	Books
UK	16 (+10)	16	0
ES	12 (+6)	12	0
DE	5 (+3)	5	0
IT	4 (+1)	2	2
CH	4 (+3)	3	1
DK	2 (+2)	0	2
HU	2 (0)	2	0
NO	1 (0)	1	0
GR	1 (0)	1	0
AT	1 (0)	0	1
SE	1 (+1)	1	0
ZA	1 (+1)	1	0
NL	1 (+1)	1	0
PT	1 (+1)	1	0
Total	52	46	6

Tailored dissemination activities being planned with OpenAIRE NOADs to tackle arising geographic bias in funding distribution across countries

Early Outcomes: Publishers

Publisher	Number of funded requests	Previous position (Jul 30 th)
NPG/Macmillan	8	1
Copernicus	6	–
Frontiers	5	2
PLoS	4	4
BioMed Central	4	6
Ubiquity Press	3	3
Wiley	3	5
MDPI	3	8
Good Works Publishing	3	–
Hindawi	2	7
Resilience Alliance	2	9

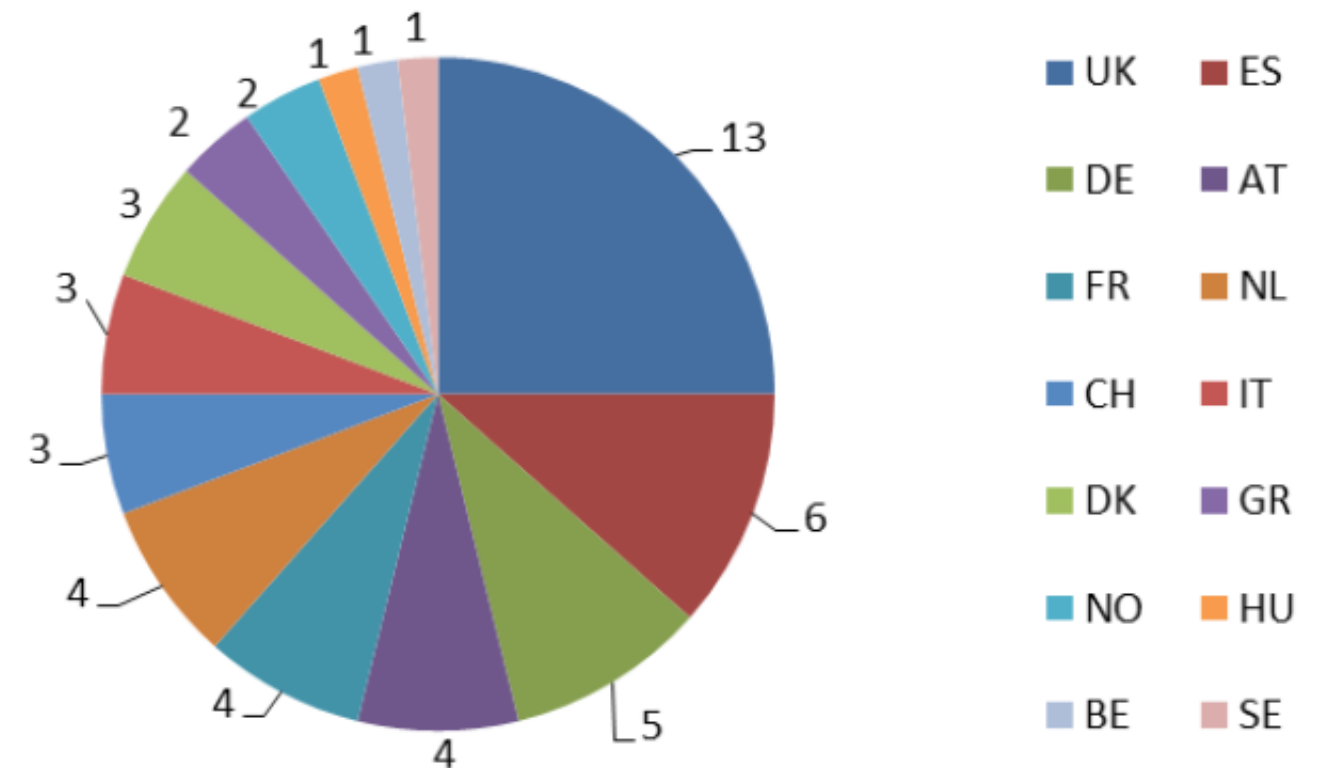
Discussions for entering pre-payment agreements already under way based on these figures

Early Outcomes: FP7 Projects

Regarding the funding request distribution by FP7 projects, it is worth mentioning that one project, CONVERGE-227030, has already collected funding (via the project coordinator, The Schumacher Institute in Bristol, UK) for the three publications it is entitled to, while three additional projects (BACTOCOM-248919, PROBIOLIVES-243471 and CROPS-246252) have collected funding for two articles each.

FP7 Project Partners	Number of projects
1	6
2-5	5
6-10	19
11-15	14
16-20	5
21-25	2
> 25	2

FP7 Project Coordinator by Country (as of Sep 30th)





Early Outcomes: Funded Outputs

“FP7 Post-Grant OA Pilot Outputs” collection already available in Zenodo for PDF & XML versions of the outputs to be deposited

<https://zenodo.org/collection/user-fp7postgrantoapilotoutputs>

zenodo Research. Shared.

Search Communities Browse Upload Get started Sign In Sign Up

Search

FP7 Post-Grant OA Pilot Outputs

Community collection

OpenAIRE FP7 post-grant Open Access Pilot

FP7 Post-Grant OA Pilot Outputs

This is the Zenodo community where the Open Access outputs will be stored that have collected funding from the EC FP7 Post-Grant Open Access Pilot to cover their Open Access publishing fees.

Title: FP7 Post-Grant OA Pilot Outputs
Curated by:
Curation policy: Not specified
Created: 2015-07-01
Harvesting API: OAI-PMH Interface

14 July 2015 Journal article Open access **View** 15

Hierarchical networks of scientific journals
 Palla, Gergely ; Tibély, Gergely ; Mones, Enys ; Pollner, Péter; et al.

Academic journals are the repositories of mankind’s gradually accumulating knowledge of the surrounding world. Just as knowledge is organized into classes ranging from major disciplines, subjects and fields, to increasingly specific topics, journals can ...

06 May 2015 Journal article Open access **View** 8

Movement and Perceptual Strategies to Intercept Virtual Sound Sources
 Komeilipoor, Naeem ; Rodger, Matthew W. M. ; Cesari, Paola ; Craig, Cathy M.

To intercept a moving object, one needs to be in the right place at the right time. In order to do this, it is necessary to pick up and use perceptual information that specifies the time to arrival of an object at an interception point. In the present ...

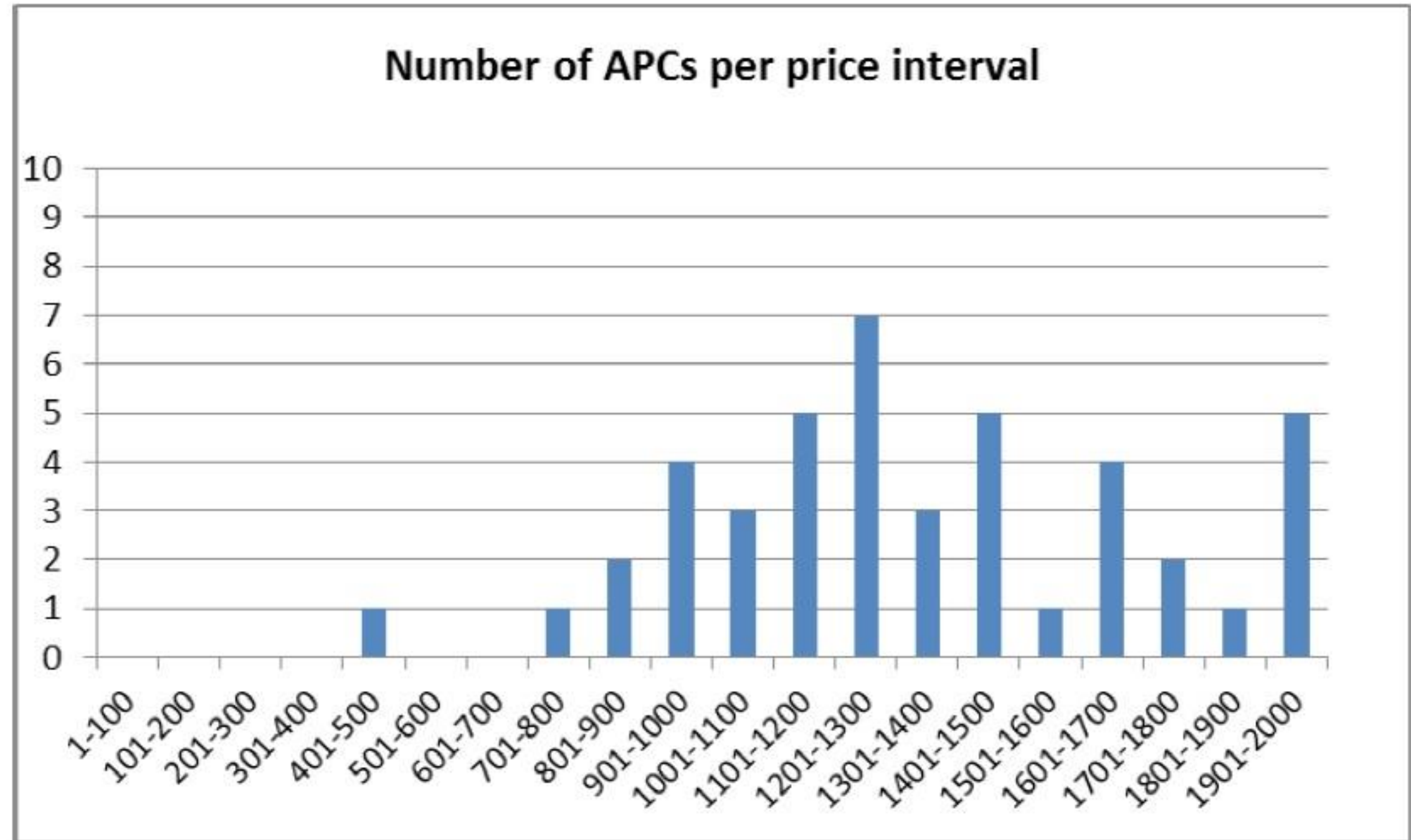
neuroprotective properties that is produced by a number of species from several genera of



Early Outcomes: Average APC

Average APC fee
paid so far (Sep 30th)
€ 1352

Std dv
€ 359





APC-equivalent Funding

Instead of APCs, this APC-equivalent funding for APC-free journals will fund *technical improvements in the publishing workflows* at eligible journals.

Two main challenges to tackle:

Defining the technical and administrative mechanisms for providing the funding, which includes (among others) what to fund, whom to fund, how to fund and what indicators to use for accountability.

Making sure eligible researchers will submit their work to these journals, which includes a *specific dissemination strategy* plus ensuring SSH journals are registered in ERIH+ and checking how many FP7-funded publications have previously been published in them.



Some fundable improvements

The current (draft) list of fundable technical improvements for APC-free journals includes:

- **Collecting funder information** (if/where declared and applicable) in the appropriate metadata element, also retrospectively
- Registration in **ERIH+/DOAJ**
- Becoming harvested by OpenAIRE and DOAJ (**at article-level**)
- Improving **OA advocacy** towards authors (incl Pilot dissemination)
- Implementing **OJS peer-review and manuscript processing workflows**
- Including references in **machine-readable** format
- Implementing **ORCID**
- Implementing **altmetrics**

Thank you!



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facebook.com/groups/openaire



linkedin.com/groups/OpenAIRE-
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